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INTRODUCTION

Because state programs are so heavily influenced by federal funding, adequate information about the sources of federal aid and data about amounts actually received are a necessity. Although sufficient information about federal aid seems never to be at hand, there are actually a large number of sources of data available. The difficulty occurs in trying to locate those sources which are most appropriate to a particular need. The situation is compounded by the fact that many of the sources of statistical information are incompatible with each other, so that it is difficult to be assured of either accurate or complete information when more than a single source must be consulted.

The purpose of this memorandum is two-fold. First, it identifies the major sources of information about federal aid programs. And second, it describes the computerized information files maintained by the Commission on Intergovernmental Cooperation.

The discussion is divided into two main sections. The first section describes various publications which provide information on federal assistance available to states, local governments, and non-governmental organizations. The second section identifies sources of statistical information on the amounts of federal aid which have been received in Illinois and discusses the detailed information available from the Commission's federal aid surveys and other computerized information files.

Although the various sources of information about federal aid are fairly widely scattered and often incompatible with one another, it is possible to obtain a fairly complete picture of the federal funding which has been received in Illinois over the past several years by consulting these documents. One notable omission, however, is any reliable source of information on the amounts of federal funds which will become available in future fiscal years. Although such estimates would be highly valuable to both legislators and agency officials, no such source exists at the present time.

Further information about these information sources and the services provided by the Illinois Commission on Intergovernmental Cooperation can be obtained from

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J. Norman Reid, Assistant Director
Illinois Commission on Intergovernmental Cooperation
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INFORMATION ON AVAILABLE AID PROGRAMS

There is a fairly large number of published sources of information about the federal aid programs which are available for particular kinds of tasks. Of these, the most comprehensive and useful is the OMB's Catalog of Federal Domestic Assistance, described below in some detail. Other information sources, while often restricted to a single policy area, may provide greater detail about individual programs than is contained in the OMB Catalog or may organize the materials in a more useful fashion. Many of these sources are also discussed in this section.

OMB Catalog

The most comprehensive and probably the most widely consulted source of information on available federal aid programs is the Catalog of Federal Domestic Assistance, prepared by the U.S. Office of Management and Budget (OMB). Provided in loose-leaf form, the Catalog is revised semi-annually and contains brief descriptions of approximately 1000 federal programs of assistance to governments, organizations and individuals. Included are federal grant-in-aid programs, non-financial assistance programs (such as technical assistance), loan and loan guarantee programs, and programs of direct aid to individuals (such as social security).

Contents. The program descriptions in the Catalog include the citations to the authorizing federal statutes and regulations, the types of applicants which are eligible to apply for the aid, a brief (and somewhat inadequate) description of the purposes and eligible uses of the aid, the form in which the aid is provided, information about application procedures, information about related federal programs, and references to the federal offices which can be contacted for further information about each program. The Catalog has several indices which list all programs administered by each federal agency, group all programs which are intended for use in broad subject categories, and cross-reference specific programs by detailed subject headings.

Program numbering system. Each program described in the Catalog is identified by a unique five-digit number which is keyed to the department which administers the program, and the OMB's program numbering system has been picked up by many other federal and state agencies, forming a relatively consistent means of identifying federal programs. In recent years, OMB has been somewhat inconsistent in its application of its program numbering system, due to the elimination of some programs (either statutorily or by administrative actions, such as impoundment), the creation of new ones, and the reorganization or consolidation of existing programs. The resulting confusion has been alleviated somewhat by the addition of "crosswalks" to the Catalog, which summarize changes in the program numbering system from one issue to the next.

Forms available. The Catalog is made available in both printed form and in machine-readable form. The printed version of the Catalog is available from the U.S. Government Printing Office at a cost of about \$17. The computer tape version, also revised semi-annually, may be obtained from the National

Technical Information Service (NTIS) at the cost of \$100 for each issue. In addition to the full text of the program descriptions contained in the printed Catalog, the computerized version contains a "characteristics record" for each program which reduces the textual descriptions to a series of explicit number and letter codes. The information contained in the "characteristics record" may be used for statistical evaluations of the characteristics of federal programs and in conjunction with relatively simple computer programs (such as the EASYTRIEVE language) to extract lists of programs having a desired set of characteristics (for example, all health programs authorized by a given federal statute for which local governments are eligible).

Uses of the Catalog. The Catalog is useful for identifying operating federal aid programs which may be used for particular purposes by a designated set of applicants. Most commonly, the Commission staff uses the printed edition of the Catalog to answer such questions as "what programs are available to help my town with its sewer system." Unless there is a need to identify a broad set of programs, such questions are generally answerable from the printed edition of the Catalog.

Searches of the computerized version. Many times, however, it is necessary to assemble either very broad lists of federal programs or lists which are based on program characteristics which are not indexed in the printed version of the Catalog. In these cases, it is generally more efficient to perform a computer search of the OMB Catalog computer tape. The Commission staff has obtained various editions of the tape and has them available for use. Searches of the computer tape can be based on any characteristic of the federal programs which is coded into the "characteristics record," and the kinds of computer reports which are possible are limited only by the information available in that form. Recent examples of the use of the computer tape have included

- * a list of all health grant programs authorized by certain federal statutes, over which the new health systems agencies (HSA's) will exercise review powers;
- * a list of all programs of possible aid to handicapped children;
- * a list of all grant programs for the prevention and treatment of alcoholism and drug abuse.

Special Catalogs

Although the OMB Catalog is the most comprehensive of the federal publications listing available federal aid programs, several other useful publications exist, some of which list federal aid programs which are not contained in the OMB Catalog (generally non-financial forms of assistance) and many of which provide more detail about the programs than is given in OMB's Catalog. These are indicated below by the general subject area with which they deal.

Arts

Associated Councils of the Arts, Cultural Directory: Guide to Federal Funds and Services for Cultural Activities. New York: Associated Councils of the Arts Publications (1564 Broadway, New York, N.Y. 10036).

- *U.S. National Endowment for the Arts. Guide to Programs. Washington: National Endowment for the Arts, July, 1974.

A compilation of National Endowment for the Arts programs in the areas of architecture and environment arts, dance, education, expansion arts, literature, museums, music, public media, theater, and visual arts. The Guide provides information on the history of the Endowment, its funding, application procedures and deadlines, and descriptions of the emphases being given in each of the Endowment's program areas.

Education

- *"Federal Funds: Guide to OE-Administered Programs, Fiscal Year 1974," American Education (March, 1974). Reprinted in Congressional Record (April 9, 1974; daily edition), pp. S5514-9.

Environmental Quality

- *U.S. Environmental Protection Agency, Federal Assistance Programs of the Environmental Protection Agency. Washington: U.S. Government Printing Office, March, 1974).

Reprints of the descriptions of EPA-administered programs as given in the OMB's Catalog.

Historic Preservation

- *National Trust for Historic Preservation. A Guide to Federal Programs: Programs and Activities Related to Historic Preservation. Washington: National Trust for Historic Preservation (740-48 Jackson Place, N.W., Washington, D.C. 20006).

Libraries

- *Jean B. Wellisch et al. The Public Library and Federal Policy. Westport, Conn.: Greenwood Press, 1974, pp. 62-85.

A review of federal aid programs of possible application to libraries based on information in the 1972 edition of the OMB Catalog. Though the discussion is now dated, it is nonetheless useful as an indication of the range of funding sources available to libraries.

Recreation

- *U.S. Department of the Interior, Bureau of Outdoor Recreation. Digest: Federal Outdoor Recreation Programs and Recreation-Related Environmental Programs. Washington: U.S. Government Printing Office, 1973.

A tabulation of the recreation or recreation-related functions of U.S. government agencies, including an identification of the programs each administers and the general type of assistance provided by each program.

Rural Development

- *U.S. Department of Agriculture, Rural Development Service. Guide to Federal Programs for Rural Development. 4th ed.: Washington: U.S. Department of Agriculture, March, 1975.

A directory of federal programs related to rural development, the Guide describes programs in the following areas: jobs, business and industry; community facilities; community functions and services; housing; and planning and coordination. Program descriptions are numbered by the OMB's numbering system, except where the program is not described in the OMB Catalog. The descriptions contained in the Guide are generally shorter than those in the OMB Catalog, but provide greater detail on the purposes of each program.

- *U.S. Senate. Committee on Agriculture and Forestry. Subcommittee on Rural Development. HEW Programs for Rural America: Department of Health, Education, and Welfare Program Assistance for Non-metropolitan Areas, Fiscal Year 1972. 94th Cong., 1st sess. (1975).

Though largely a discussion of the FY 1972 program activities of HEW in non-metropolitan areas, the book does give an indication of the range of HEW assistance which may be available to those areas.

Science and Technology

- *U.S. National Science Foundation. Guide to Programs: Fiscal Year 1973. Washington: U.S. Government Printing Office, 1973.

Provides descriptions of NSF's programs in the following broad areas: scientific research; research applications; national research centers; international cooperative scientific activities; science education; computing programs; and special programs. The descriptions place emphasis on the purposes and objectives of each program, eligibility for them, and deadlines applicable to each.

Transportation

*U.S. Department of Transportation. Grant and Assistance Programs. Washington: U.S. Government Printing Office, 1974.

A small brochure which provides brief descriptions of the various assistance programs administered by the U.S. Department of Transportation.

Water

*Ohio River Basin Commission. Guide to Federally-Assisted Water and Related Land Programs. Cincinnati: Ohio River Basin Commission, January, 1975 (Suite 208-20, 36 E. 4th St., Cincinnati, Ohio 45202).

Identifies federal aid programs which provide assistance in the following categories: comprehensive planning; flood damage abatement; land stabilization; natural, historical and recreational programs; navigation; water quality; and water supply.

Illinois Publications

In addition to the various catalogs and guides to federal funding sources prepared by the federal government, several Illinois state publications are available.

The Illinois Commission on Intergovernmental Cooperation prepares specialized memos and reports listing federal aid programs available for such purposes as recreation; sewer construction, maintenance and operation; and alcoholism prevention and treatment. A list of these reports is available from the Commission staff at 101 W. Monroe Street, Springfield, Illinois 62706 (217)782-6924.

The Illinois Department of Local Government Affairs has prepared a Guide to Illinois State Services which provides descriptive information on the programs (including federal programs) administered by each Illinois state agency. While the Guide does not indicate how one would go about applying for the federal aid, it does serve as a useful reference source on which federal programs are administered by each agency.

The Illinois Office of Education has prepared a Directory of Federal Programs which lists education grants for which local school districts are eligible. Though the Directory has not been updated to reflect changes in the structure of federal education grant programs following the enactment of PL 93-380, it may still be useful for gaining an idea of the range of assistance which is available to local schools. The report was prepared by the Federal Relations section of the Department, and it may be obtained from that office.

*Available at the Commission office.

Other Sources

In addition, there are a variety of other sources of information about available federal funds, including association newsletters. Of these, two of the best are

Allison Hallingby, "The Nation's Cities 1975-76 Annual Directory: A Roster of Over 250 Private and Governmental Organizations Which Can Help Your City," Nation's Cities 13(July, 1975): 13-54.

GIS Local Funding Report (weekly newsletter of the Government Information Services, 752 National Press Building, N.W., Washington, D.C. 20045).

INFORMATION ON THE RECEIPT AND USE OF FEDERAL AID IN ILLINOIS

Although there are a number of sources of information available regarding the amounts of federal funds received by governments in Illinois, these vary widely in their scope, detail and accuracy. Many of these sources of data are available in published form and can be obtained either directly from the issuing agency (or the Government Printing Office in the case of federal agencies) or from most large libraries. Other sources are highly technical and are based on computerized information files. Several of these sources are available from the Illinois Commission on Intergovernmental Cooperation, using facilities provided by the Illinois Legislative Information System. Each source is described briefly below.

Computerized Information Sources

With the assistance of the Illinois Legislative Information System, the Illinois Commission on Intergovernmental Cooperation has developed several computerized files of information on the receipt and use of federal funds within Illinois. Because each file derives from different sources and was compiled in different ways, the information in each file varies in terms of both its complexity and the kinds of uses to which it may be put.

Illinois Federal Aid Survey data. Since 1973, the Commission on Intergovernmental Cooperation has conducted annual surveys of all Illinois state agencies in order to identify the federal aid programs used by each agency, the amounts received under each program, and other information about the programs and the manner in which they are administered. Starting with the data for FY 1974, the Commission staff has computerized the survey data, so that it is possible to prepare special-purpose reports and statistical summaries of Illinois' use of federal funds. Several such reports have been prepared, including the following:

Federal Aid Programs Used by Illinois State Agencies in Fiscal Year 1974. RM 33 (May 21, 1975).

Federal Funds Subgranted by Illinois State Agencies to Other State Agencies, Local Governments, and Other Organizations, FY 1974. RM 35 (July, 24, 1975).

Federal Aid Receipts Deposited in Each Illinois Federal Trust Fund, FY 1974. RM 36 (July 25, 1975).

Characteristics of Federal Aid Programs Used by Illinois State Agencies, FY 1974. RM 38 (July 25, 1975).

In addition to these published reports, a restricted number of computer printouts showing the entire set of FY 1974 survey returns obtained by the Commission are available for use by state officials.

Both the 1974 Federal Aid Survey and the 1975 Survey (which was fielded in November, 1975, and gathered actual FY 1975 figures and estimates for FY 1976) provide information on the following subjects:

- * the name and OMB Catalog number of each program used by each agency;
- * the type of program (grant, contract, loan, other);
- * the type of payment mechanism involved (cash in advance, reimbursement, letter of credit procedure, other);
- * whether the funds were appropriated by the General Assembly;
- * the source of Illinois statutory authority to receive and spend the funds;
- * the names and addresses of the person(s) responsible for administration of the federal funds;
- * the source of the funds (if received as a subgrant from some other agency);
- * the state treasury fund into which the monies were deposited;
- * the required federal matching ratio and whether this is expected to change in future years;
- * the amount of federal allotments (for formula grants) and awards of grants received during the fiscal year;
- * the amount of unspent funds carried forward from prior years;
- * the amount of funds spent during the year for a) the agency's own operations and b) subgrants to other agencies;
- * the amount of unspent funds a) carried over to the next year and b) reverting to the federal government;

- * the amount of actual cash transfers to the state during the year;
- * the amount of state funds spent to meet federal requirements for matching; and
- * the amount of state funds spent on federally-supported activities in addition to those funds which were required as matching contributions.

Because the information is available in computerized form, it is possible to prepare reports which make use of any or all of these items of information in an almost unlimited variety of report formats.

HEW Financial Assistance data. Since 1974, the Commission on Intergovernmental Cooperation has made use of computer tapes provided by the U.S. Department of Health, Education, and Welfare which indicate all recipients of HEW grants, their location within the state, the amounts of assistance received, and the programs under which the aid was provided.

Because the information applies only to HEW grants, and not all federal grants, the use of the information for statistical reports on the distribution of aid within the state is limited. However, the information is extremely useful for identifying agencies and jurisdictions which have received funding under specific HEW programs. Most commonly, the data have been used by legislative committees and other state agencies which are engaged in intensive reviews of federally-aided state policy in a selected area. Recent examples of reports prepared through the use of the HEW information include a listing of all recipients of federal alcoholism prevention and treatment funds and a listing of all recipients of federal health grants whose funding will become subject to review by health systems agencies under the terms of the recent National Health Planning and Resource Development Act of 1974.

Although the information available on the computer tapes is analogous to that published by HEW in its annual volume Federal Assistance by Geographic Area (published separately for each federal region), it is much easier to prepare reports using the computerized version. In addition, the computerized file contains some additional details not included in the published version.

OEO Federal Outlays data. Since 1974, the Commission on Intergovernmental Cooperation has made use of computer tapes provided by the U.S. Office of Economic Opportunity containing its figures on federal outlays within Illinois. This data source indicates the amount of federal funds committed for expenditure in each county and large city in the state under each federal spending category, including both federal grant programs and other federal spending programs (such as federal salaries, military contracts, etc.). The figures do not identify individual agencies which receive federal assistance, and their primary value is thus in profiling individual counties or legislative districts within the state in terms of their receipt of federal expenditures.

Treasury Department statistics. The U.S. Department of the Treasury publishes an annual statistical series, Federal Aid to States, which indicates total cash transfers to state and local governments in each state under each of approximately 100 spending categories. The figures are chiefly composed

of federal grant payments. Although the figures do not distinguish between those amounts received by the state versus local governments, they are nonetheless useful for making state by state statistical comparisons. The Commission on Intergovernmental Cooperation has computerized these figures for fiscal years 1971-74 and uses them in statistical analyses of trends in fiscal federalism.

Published Sources of Data

The computerized information sources available to the Intergovernmental Cooperation Commission are not always sufficient to answer all questions to which the staff is asked to respond. Supplementing these sources are a large number of printed statistical sources, some of which are described below.

Illinois Bureau of the Budget, State Clearinghouse. Illinois Federal Grant Review (semi-annual).

This publication reports on grant applications reviewed by the state clearinghouse under the A-95 process and grant awards made under programs subject to reporting under the TC 1082; (formerly A-98) project notification process. The data are reported both in summaries by federal agency and by functional area. The Appendix lists individual grant awards by the county in which the recipient is located; the specific federal programs involved, however, are not identified. The data reported, probably cover less than 90% of the actual grant awards made within Illinois, due to poor federal enforcement of the reporting procedures. The information in the report includes grants to both state and local agencies within Illinois, and includes some grants to non-governmental entities.

Illinois Bureau of the Budget, State Clearinghouse. Weekly Summary of Grants Received.

A weekly summary sheet indicating grant awards received by Illinois state or local governments or other recipients, reported under the terms of Treasury Circular 1082 (formerly OMB Circular A-98). The sheet lists each reported grant award, the specific recipient, the amount of projected federal and state contributions to the project, and the specific federal program under which the award is made. This report, which has the benefit of providing more precise and specific information than many other data sources, suffers from the same problems as the BOB's semi-annual report: the incompleteness of the information generated by the federal reporting process.

U.S. Bureau of the Census. City Government Finances in (year). Washington: U.S. Government Printing Office, annual.

Reports total federal aid, which should be interpreted as cash transfers, to each city over 50,000 population, as well as other fiscal information for these cities.

U.S. Bureau of the Census. Government Finances in (year). Washington: U.S. Government Printing Office, annual.

Reports total federal aid received by state and local government recipients in each state during the fiscal year.

U.S. Bureau of the Census. State Government Finances in (year). Washington: U.S. Government Printing Office, annual.

Shows state government federal aid receipts, for each state, in five programmatic categories: education, highways, health and hospitals, public welfare, and employment security administration. The figures are based on the same information reported in the Census Bureau series Government Finances.

U.S. Department of Commerce, Economic Development Administration. EDA Directory of Approved Projects.

Lists grant projects approved by the Economic Development Administration, by program, for each recipient. Included is the amount of funds committed to each project and the amount disbursed as of the date of the report.

U.S. Office of Economic Opportunity. Federal Outlays in Illinois. Springfield, Virginia: National Technical Information Service, annual.

Gives federal expenditures for grant programs, federal procurement activities, and direct federal operations in each county and major city in the state. Expenditures are given for specific program categories (since 1973, the categories are compatible with OMB program designations). Expenditures are indicated by the county and/or city in which they were made and not by the governmental unit or other entity which actually received the funds.

U.S. Office of Economic Opportunity. Federal Outlays in Summary. Springfield, Virginia: National Technical Information Service, annual.

Gives federal expenditures for grant programs, federal procurement activities, and direct federal operations in each state. Expenditures are given for specific program categories (since 1973, the categories have been compatible with OMB program designations).

U.S. Environmental Protection Agency. Project Register, Waste Water Treatment Construction Grants. Washington: U.S. Environmental Protection Agency, occasional.

Reports awards during the months covered for water pollution control and waste treatment projects, including specific recipients and the amount of assistance for which they are eligible. Cumulative tables also included in the report indicate state totals for grant awards under the Appalachian Regional Commission, the Economic Development Administration, and the Environmental Protection Agency, including both the amounts of assistance and the purpose of the projects. The Register is generally issued on a monthly basis.

U.S. Department of Health, Education, and Welfare. Financial Assistance by Geographic Area: Region V (annual).

This publication lists, for Illinois and surrounding states, federal grant awards to individual recipients, who are arranged by county of location. The federal programs involved are identified by OMB Catalog number. The volume does not include statewide totals for receipts under particular programs, however, making the task of aggregating the information quite difficult. The report includes only grant programs administered by the Department of Health, Education, and Welfare.

U.S. Department of Health, Education, and Welfare, National Institute for Occupational Safety and Health. Occupational Safety and Health Research and Demonstration Grants. Washington: U.S. Government Printing Office, annual.

Indicates awards of occupational safety and health research and demonstration grants made by the National Institute for Occupational Safety and Health during each fiscal year, by state and by recipient. The book also describes the specific programs of research and demonstration in some detail.

U.S. Department of Health, Education, and Welfare, National Institute for Occupational Safety and Health. Occupational Safety and Health Training Grants. Washington: U.S. Government Printing Office, annual.

Indicates awards of occupational safety and health training grants made by the National Institute for Occupational Safety and Health during each fiscal year, by state and by recipient. The booklet also describes occupational safety and health training programs in operation at colleges and universities throughout the country.

U.S. Department of Housing and Urban Development. HUD Statistical Yearbook. Washington: U.S. Government Printing Office, annual.

Presents a large variety of statistics regarding the activities of the Department of Housing and Urban Development, including data on grants and other federal aid payments made within each state. Generally, only state totals are presented, though in some instances, figures are broken down by sub-state recipient of the assistance.

U.S. Department of Housing and Urban Development. Housing and Urban Development Trends (quarterly).

Reports quarterly and cumulative figures on activity in the housing industry, including both construction and housing finance statistics. Included are national totals of HUD's financial support for various housing programs.

U.S. National Science Foundation. Awards to the State of Illinois (quarterly; annual summary).

A quarterly release of the National Science Foundation, this pamphlet

lists NSF grant awards by recipient, the date of award, the duration of the project, the amount of assistance, and the purpose of the project.

U.S. Department of the Treasury. Federal Aid to States. Washington: U.S. Government Printing Office, annual.

This volume lists federal aid payments to state and local governments. Totals received by state and local governments are shown by state in approximately 100 programmatic categories. The categories used are difficult to relate to individual federal programs in many instances; the content of the categories frequently changes from year to year, making it difficult to compare program activity over more than one year.

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